

Safety Attribute Inspection (SAI) Data Collection Tool

1.3.6 AD Management (AW)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To ensure compliance with airworthiness directives.

Objective (FAA oversight):

- To determine if the certificate holder's AD Management process meets all applicable requirements of Title 14 of the Code of the Federal Regulations (14 CFR) and FAA policies.
- To determine if the certificate holder's AD Management process incorporates the safety attributes.
- To identify any shortfalls in the certificate holder's AD Management process.

Specific Instructions:

- Intentionally left blank

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 119.43(b)
 - 119.43(b)(1)
 - 119.43(b)(2)
 - 119.43(c)
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(24)
 - 121.135(b)(3)
 - 121.369(c)
 - 121.380(a)(2)(vi)
 - 121.380(c)(3)
 - 121.380(d)
 - 39.15
 - 39.17
 - 39.19
 - 39.21
 - 39.23
 - 39.27
 - 39.3
 - 91.403(a)
 - A.447

Related CFRs & FAA Policy/Guidance:

- Related CFRs:

- Related CFRs:
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- FAA Policy/Guidance:
FAA Order 8300.10, Volume 2, Chapter 71
FAA Order 8400.10, Volume 3, Chapter 1
HBAW 98-20
AC 39-7C

SAI SECTION 1 - PROCEDURES ATTRIBUTE

Objective: Procedures, instructions, and information contained in the certificate holder's manual are documented methods for accomplishing a process. Policies contained in the certificate holder's manual should establish the certificate holder's compliance posture. Policies may not be stand-alone statements but may be embedded within procedures, instructions, or information regarding a particular regulatory requirement. The questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder's manual has documented or prescribed methods of accomplishing the process requirements that provide answers to the associated questions regarding who, what, when, where, and how. This section contains policy questions, procedural questions, and instructional or informational questions pertaining to various types of certificate holder requirements such as actions, prohibitions, or resources (i.e., personnel, facilities, equipment, technical data, etc.).

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the Supplemental Information section of this data collection tool.
2.	Review the duties and responsibilities for management and other personnel identified by the certificate holder who accomplish the AD Management process.
3.	Review the certificate holder's manual to ensure that it contains policies, procedures, instructions, and information necessary for the AD Management process.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Does the content of the certificate holder's manual meet the specific regulatory and FAA policy requirements for a AD Management process:	
1.1.	Does the certificate holder's system for preservation and retrieval of information include the instructions and information necessary to allow personnel to perform the duty and responsibility of keeping the status of applicable airworthiness directives which contain: SRRs: 121.135(a)(1); 121.369(c); 121.380(a)(2)(vi)	
1.1.1	The date and methods of compliance for each applicable airworthiness directive? SRRs: 121.380(a)(2)(vi)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.1.2	The time and date when the next action is required, if the airworthiness directive involves recurring action? SRRs: 121.380(a)(2)(vi)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Does the certificate holder's manual include instructions and information necessary for personnel to: SRRs: 121.135(a)(1)	
1.2.1	Only use the certificate holder's alternate method of compliance when that proposed alternative has been approved by the manager of the office identified in the airworthiness directive? SRRs: 39.19	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.2	Follow the requirements of the airworthiness directive in cases where an airworthiness directive incorporates by reference a manufacturer's service document, and the airworthiness directive directions have modified the requirements of that service document? SRRs: 39.27	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

1.2.3	Request FAA approval of an alternative method of compliance for the actions required by an airworthiness directive if, a change in a product affects the certificate holder's ability to accomplish the actions required by an airworthiness directive in any way? SRRs: 39.17	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.4	Include in a proposed alternative method of compliance or change in compliance time the specific actions that the certificate holder proposes to address the unsafe condition? SRRs: 39.17; 39.19	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.5	Submit the proposed alternative method of compliance to the principal inspector, and at the same time, a copy may be sent to the manager of the office identified in the airworthiness directive? SRRs: 39.19 <i>Related Design JTIs:</i> 1. Check that the certificate holder's manual contains instructions and information necessary to allow personnel concerned to perform the duty and responsibility, when requesting an alternate method of compliance (AMOC), to submit the request to the assigned Principal Inspector, who may add comments and will send the request to the manager of the office identified in the airworthiness directive. <i>Sources:</i> 121.135(a)(1); 39.19	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Does the certificate holder's manual include instructions and information necessary to allow personnel concerned to perform the duty and responsibility of: SRRs: 121.135(a)(1)	
1.3.1	Maintaining the currency of Operations Specification, paragraph A447? SRRs: A.447	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.2	Applying for an amendment to Operation Specification, paragraph A447 if any of the information contained in table b(1) or b(2), of that paragraph, changes? SRRs: A.447	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.3.	Immediately, confirming receipt of an Emergency Airworthiness Directive (EAD) by signing the fax cover page and faxing it to the Delegation and Airworthiness Programs Branch (AIR-140) or fax the confirmation receipt to the Directorate issuing the EAD? SRRs: A.447	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	Does the certificate holder's manual include instructions or information that the confirmation receipt for an Emergency Airworthiness Directive must include: SRRs: 121.135(b)(24); A.447	
1.4.1	The name of the operator? SRRs: A.447	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.2	The name of person sending the reply? SRRs: A.447	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.3	The operator's four-letter designator? SRRs: A.447	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.4	The airworthiness directive number?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	SRRs: A.447	
1.4.5	The following statement? This message is to confirm receipt of the Emergency Airworthiness Directive referenced above. SRRs: A.447	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5.	Does the certificate holder's manual contain the required references to, or excerpts from, operations specifications, paragraph A447? SRRs: 119.43(b)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6.	If the certificate holder's manual includes excerpts from its operations specifications, are the excerpts clearly identified as part of the operations specifications? SRRs: 119.43(b)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7.	Does the certificate holder's manual require compliance with operations specifications, paragraph A447? SRRs: 119.43(b)(2)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.8.	Does the certificate holder's manual contain a method for keeping all persons engaged in its operations informed of the provisions of operations specifications, paragraph A447? SRRs: 119.43(c)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.9.	Does the certificate holder's AD Management process comply with the guidance contained in FAA Order 8300.10? <i>Related Design JTIs:</i> <ol style="list-style-type: none"> 1. Check that the certificate holder's instructions and information regarding content of the current status of an AD record includes identification of the particular airframe, engine, propeller, appliance, or component to which the AD is applicable. <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(a) <i>Interfaces:</i> 1.2.3(AW) 2. Check that the certificate holder's instructions and information regarding content of the current status of an AD record includes the airworthiness directive number (and/or regulatory amendment number) <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(b) <i>Interfaces:</i> 1.2.3(AW) 3. Check that the certificate holder's instructions and information regarding content of the current status of an AD record includes the date, and the time-in-service expressed in the appropriate measuring parameter (hours, cycles, calendar time, etc.), when the required action was accomplished <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7 (5)(c) <i>Interfaces:</i> 1.2.3(AW) 4. Check that the certificate holder's instructions and information regarding content of the current status of an AD record includes, if the requirement is recurring, the time-in-service when the next action is due expressed in the appropriate measuring parameter (hours, cycles, calendar time, etc.). <i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7(5)(d) <i>Interfaces:</i> 1.2.3(AW) 5. Check that the certificate holder's instructions and information regarding content of the current status of an AD record requires a concise description of the action taken to comply with the requirements of the airworthiness directive (method of compliance) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p><i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7(5)(e) <i>Interfaces:</i> 1.2.3(AW)</p> <p>6. Check that the certificate holder's instructions and information regarding content of the current status of an AD record, if the airworthiness directive or its referenced manufacturer's service bulletin permits the use of more than one method of compliance, requires a reference to the specific method of compliance used.</p> <p><i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7(5)(e) <i>Interfaces:</i> 1.2.3(AW)</p> <p>7. Check that the certificate holder's instructions and information regarding content of the current status of an AD record, if the operator uses an alternate method of compliance to comply with an airworthiness directive, requires a description of this alternate method of compliance and a copy of the FAA approval.</p> <p><i>Sources:</i> 8300.10 Volume 2, Chapter 71 Section 1, Paragraph 7(5)(e) <i>Interfaces:</i> 1.2.3(AW)</p>	
1.10.	<p>Does the certificate holder's AD Management process comply with the guidance contained in guidance contained in FAA Flight Standards Handbook Bulletin 98-20?</p> <p><i>Related Design JTIs:</i></p> <p>1. Check that the certificate holder's instructions and information have requirements for notifying the PMI when a Type Certificate Holder-Designated Engineering Representative (TCH-DER) is used to obtain alternate method of compliance (AMOC) approval.</p> <p><i>Sources:</i> HBAW 98-20 paragraph 4 <i>Interfaces:</i> 1.3.1(AW); 1.3.2(AW); 1.3.9(AW)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.11.	<p>Does the certificate holder's AD Management process comply with the guidance contained in FAA Advisory Circular 39-7C?</p> <p><i>Related Design JTIs:</i></p> <p>1. Check that the certificate holder's instructions and information regarding checks performed by pilots as permitted by AD's includes the requirement to follow the specific direction for recording requirements of AD's</p> <p><i>Sources:</i> AC 39-7C paragraph 13f <i>Interfaces:</i> 1.2.3(AW)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	<p>Does the certificate holder s manual contain general policies for the AD Management process that comply with the SRRs?</p> <p>SRRs: 121.135(b)(1); 121.380(a)(2)(vi); 121.380(c)(3); 121.380(d); 39.15; 39.17; 39.19; 39.21; 39.23; 39.27; 39.3; 91.403(a); A.447</p> <p><i>Related Design JTIs:</i></p> <p>1. Check that the certificate holder's manual contains a general policy that it will not operate a product that does not meet the requirements of an AD.</p> <p><i>Sources:</i> 121.135(b)(1); 39.7</p> <p>2. Check that the certificate holder's manual contains a general policy that it will comply with conditions, limitations and inspections that must be carried out and any actions that must be taken to resolve an unsafe</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>condition. <i>Sources:</i> 121.135(b)(1); 39.11</p> <p>3. Check that the certificate holder's manual contains a general policy that an airworthiness directive applies to each product identified in the airworthiness directive, even if an individual product has been changed by modifying, altering, or repairing it in the area addressed by the airworthiness directive <i>Sources:</i> 121.135(a)(1); 39.15 <i>Interfaces:</i> 1.2.2(AW); 1.3.2(AW)</p> <p>4. Check that the certificate holder's manual contains a general policy that it may fly its aircraft to a repair facility to do the work required by an airworthiness directive if it has operations specifications giving authority and include a provision that allow them to fly their aircraft to a repair facility to do the work required by an airworthiness directive. <i>Sources:</i> 121.135(b)(1); 39.23 <i>Interfaces:</i> 1.1.3(AW); 3.2.1(OP); 7.1.6(AW)</p> <p>5. Check that the certificate holder's manual contains a general policy that it will keep (using the system specified in the manual required in FAR 121.369) the records containing the current status of applicable airworthiness directives including date, and methods of compliance, and if the AD involves recurrent action, the date and time when the next action is required. <i>Sources:</i> 121.135(b)(1); 121.380(a)(2)(vi) <i>Interfaces:</i> 1.2.3(AW); 1.3.1(AW); 1.3.2(AW)</p> <p>6. Check that the certificate holder's manual contains a general policy that they will make available records containing the current status of applicable airworthiness directives including date, and methods of compliance, and if the AD involves recurrent action, the date and time when the next action is required, available for inspection by the Administrator or any authorized representative of the National transportation Safety Board (NTSB). <i>Sources:</i> 121.135(b)(1); 121.380(a)(2)(vi); 121.380(d) <i>Interfaces:</i> 1.2.3(AW); 1.3.1(AW); 1.3.2(AW)</p>	
3.	<p>Does the certificate holder's manual reference the appropriate Federal Aviation Regulations listed in the Supplemental Information section of this safety attribute inspection (SAI)? <i>SRRs:</i> 121.135(b)(3)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	<p>Does the certificate holder's manual contain the duties and responsibilities for personnel who will accomplish the AD Management process? <i>SRRs:</i> 121.135(b)(2)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	<p>Does the certificate holder's manual include instructions and information for personnel to meet the requirements of the AD Management process? <i>SRRs:</i> 121.135(a)(1) <i>Related Design JTIs:</i></p> <p>1. Check that the certificate holder's manual contains instructions and information necessary to allow personnel concerned to perform actions specified in an AD. <i>Sources:</i> 121.135(a)(1); 39.11 <i>Interfaces:</i> 1.3.2(AW)</p> <p>2. Check that the certificate holder's manual contains instructions and</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>information necessary to allow personnel concerned to comply with conditions and limitations specified in an AD.</p> <p><i>Sources:</i> 121.135(a)(1); 39.11</p> <p><i>Interfaces:</i> 1.3.2(AW)</p> <p>3. Check that the certificate holder's manual contains information that the office responsible for approving alternative methods of compliance can provide information about alternatives it has already approved</p> <p><i>Sources:</i> 121.135(b)(24); 39.21</p> <p>4. Check that the certificate holder's manual contains instructions and information necessary for the personnel concerned to perform the duty and responsibility to keep and retain, all records necessary to show that all requirements for the issuance of an airworthiness release under Sec. 121.709 have been met, until the work is repeated or superseded by other work or for one year after the work is performed. (using the system specified in the manual required in FAR 121.369)</p> <p><i>Sources:</i> 121.135(a)(1); 121.380(a)(1); 121.380(c)(1)</p> <p><i>Interfaces:</i> 1.2.3(AW); 1.3.1(AW); 1.3.2(AW)</p> <p>5. Check that the certificate holder's manual contains instructions and information necessary for the personnel concerned to perform the duty and responsibility to transfer with the aircraft at the time the aircraft is sold, records containing the current status of applicable airworthiness directives including date, and methods of compliance, and if the AD involves recurrent action, the date and time when the next action is required.</p> <p><i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi); 121.380(c)(3)</p> <p><i>Interfaces:</i> 1.2.3(AW); 1.3.1(AW); 1.3.2(AW)</p>	
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SAI SECTION 1 - PROCEDURES ATTRIBUTE Drop-Down Menu	
1.	No procedures, policy, instructions or information specified.
2.	Procedures or instructions and information do not identify (who, what, when, where, how).
3.	Procedures, policy or instructions and information do not comply with CFR.
4.	Procedures, policy or instructions and information do not comply with FAA policy and guidance.
5.	Procedures, policy or instructions and information do not comply with other documentation (e.g., manufacturer's data, Jeppesen's Charts, etc.).
6.	Procedures, policy or instructions and information unclear or incomplete.
7.	Documentation quality (e.g., unreadable or illegible).
8.	Procedures, policy or instructions and information inconsistent across Certificate Holder manuals (FOM - Flight Operations Manual to GMM - General Maintenance Manual, etc.).
9.	Procedures, policy or instructions and information inconsistent across media (e.g., paper, microfiche, electronic).
10.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
11.	Other.

SAI SECTION 2 - CONTROLS ATTRIBUTE

Objective: Controls are checks and restraints designed into a process to ensure a desired result. The questions in this section of the DCT are designed to assist the inspector in determining if checks and restraints are designed into the process to ensure the desired result is achieved. Controls should be written into the manual system to ensure that the most important manual policies, procedures, or instructions and information will be followed.

Controls may be in the form of administrative controls, which are secondary or supplemental written procedures. Like written procedures, administrative controls also need to provide answers to questions regarding who, what, when, where, and how. Controls may also be in the form of engineered controls, such as automated features or mechanical actions or devices (i.e., safety devices, warning devices, etc.).

Tasks

To meet this objective, the inspector must accomplish the following tasks:

1. Review the control questions below.
2. Review the certificate holder's policies, procedures, instructions, and information to gain an understanding of the controls that it has documented.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Are the following controls built into the AD Management process:	
1.1.	Is there a control or controls in place to ensure that the certificate holder's records indicate that the aircraft, aircraft engines, propeller, and/or appliances are in compliance with applicable Airworthiness Directives (AD)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Is there a control or controls in place to ensure that actions are performed as specified in the Airworthiness Directive?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Is there a control or controls in place to ensure that the certificate holder obtains an approved alternate method of compliance when an aircraft, aircraft engine, propeller, and/or appliance has been changed in a way that affects the ability of the certificate holder to accomplish the actions required by an AD?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	Is there a control or controls in place to ensure that any proposed alternate methods of compliance for airworthiness directives are sent to the principal inspector?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5.	Is there a control or controls in place to ensure that the certificate holder obtains ACO approval for a change in compliance time, if the aircraft is to be operated differently than AD limitation requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6.	Is there a control or controls in place to ensure that the certificate holder's AD accomplishment records are accurate?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7.	Is there a control or controls in place to ensure that the certificate holder receives Emergency AD's that affect an aircraft type in its fleet?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.8.	Is there a control or controls in place to ensure that AD requirements, performed by a contractor, are properly accomplished?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Does the certificate holder have a documented method for assessing the impact of any changes made to the controls in the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 2 - CONTROLS ATTRIBUTE Drop-Down Menu	
1.	No controls specified.
2.	Documentation for the controls do not identify (who, what, when, where, how).
3.	Controls incomplete.
4.	Controls could be circumvented.
5.	Controls could be unenforceable.
6.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
7.	Other.

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE

Objective: Process measurements are used by the certificate holder to measure and assess its processes, to identify and correct problems or potential problems, and to make improvements to the processes. The questions in this section of the DCT are designed to assist the inspector in determining if the certificate holder measures or assesses information to identify, analyze, and document potential problems with the process. Process measurements are a certificate holder's internal evaluation or auditing of the most important policies, procedures, or instructions and information associated with an element.

To prevent the duplication of work, process measurements are most commonly addressed through a combination of auditing features contained in both the certificate holder's safety program/internal evaluation program (for operations and cabin safety-related issues) and the auditing function of the Continuous Analysis and Surveillance System (for airworthiness or maintenance/inspection-related issues). The director of safety and the quality assurance department often work together to accomplish this function for the certificate holder. This approach requires amendment of the safety program/internal evaluation program audit forms or checklists and the Continuous Analysis and Surveillance System audit forms or checklists to include the specific process measurements for each element.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the process measurement questions below.
2.	Review the certificate holder's policies, procedures, instructions, and information to gain an understanding of the process measurements that it has documented.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Does the certificate holder's AD Management process include the following process measurements:	
1.1.	Is there a process measurement or process measurements that would identify if records indicate that the aircraft, aircraft engines, propeller, and/or appliances were not in compliance with applicable Airworthiness Directives (AD)?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Is there a process measurement or process measurements that would identify if the observed actions were not performed as specified in the Airworthiness Directive?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Is there a process measurement or process measurements that would identify if the certificate holder failed to obtain an approved alternate method of compliance for an aircraft, aircraft engine, propeller, and/or appliance that has been changed, in a way that affected the certificate holder's ability to accomplish the actions required by an AD?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4.	Does the certificate holder have process measurements that would reveal if the alternate methods of compliance were granted without the Principal Inspector's knowledge?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5.	Is there a process measurement or process measurements that would identify if the certificate holder failed to obtain ACO approval for a change in compliance time, if the aircraft is operated differently than AD limitation requirements?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.6.	Is there a process measurement or process measurements that would identify if the certificate holder's AD accomplishment records were not accurate?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7.	Is there a process measurement or process measurements that would identify if	<input type="checkbox"/> Yes

	the certificate holder failed to receive Emergency/Telegraphic AD's that affect an aircraft type in its fleet?	<input type="checkbox"/> No, Explain
1.8.	Is there a process measurement or process measurements that would identify if AD requirements, performed by a contractor, were not properly accomplished?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Is there a process measurement or process measurements that would reveal if the certificate holder's policy, procedures, instructions, and information contained in its manual were not followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Does the certificate holder document its process measurement methods and results?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Does the certificate holder's manual provide for the use of process measurement results to improve its programs?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Does the organization that conducts the process measurements have direct access to the person with responsibility for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE Drop-Down Menu	
1.	No process measurements specified.
2.	Documentation for the process measurements does not identify (who, what, when, where, how).
3.	Inability to identify negative findings.
4.	No provisions for implementing corrective actions.
5.	Ineffective follow-up to determine effectiveness of corrective actions.
6.	Resources requirements (personnel, facilities, equipment, technical data).
7.	Other.

SAI SECTION 4 - INTERFACES ATTRIBUTE

Objective: Interfaces are used by the certificate holder to identify and manage the interactions between processes. The questions in this section of the DCT are designed to assist the inspector in determining whether or not interactions between the policies, procedures, or instructions and information associated with other independent processes within the certificate holder's organization are documented. Written policies, procedures, or instructions and information that are interrelated and located in different manuals within the certificate holder's manual system must be consistent and complement each other. For the interfaces to be effectively managed, it is not only important to identify what the interfaces are, but it is imperative to document the specific location of the interfaces within the certificate holder's manual system.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the interfaces associated with the AD Management process that have been identified along with the individual questions in the section 1, Procedures, of this DCT.
2.	Review the certificate holder's policies, procedures, instructions, and information to gain an understanding of the interfaces that it has documented.

Questions

	To meet this objective, the inspector must answer the following questions:	
	Note: The design job task items (JTIs) displayed with the questions in section 1, Procedures, of this DCT identify potential interfaces (by element number) for this element.	
1.	Does the certificate holder's manual properly address the interfaces that are identified along with the questions in section 1, Procedures of this DCT?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Does the certificate holder's manual document a method for assessing the impact of any changes to the associated interfaces within the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 4 - INTERFACES ATTRIBUTE Drop-Down Menu	
1.	No interfaces specified.
2.	The following interfaces not identified within the Certificate Holder's manual system:
3.	Interfaces listed are inaccurate.
4.	Specific location of interfaces not identified within the manual system.
5.	Other

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTES

Objective: The questions in this section of the DCT address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified, and knowledgeable person who is responsible for the process, is answerable for the quality of the process, and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Identify the person who has overall responsibility for the AD Management process.
2.	Identify the person who has overall authority for the AD Management process.
3.	Review the duties and responsibilities of the person(s), documented in the certificate holder's manual.
4.	Review the appropriate organizational chart.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Does the certificate holder's manual clearly identify who is responsible for the quality of the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Does the certificate holder's manual clearly identify who has authority to establish and modify the policies, procedures, instructions, and information for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the certificate holder's manual include the duties and responsibilities of those who manage the work required by the AD Management process? SRRs: 121.135(b)(2)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Does the certificate holder's manual include instructions and information for those who manage the work required by the AD Management process? SRRs: 121.135(a)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Does the certificate holder's manual clearly and completely document the authority for this position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
6.	Does the certificate holder's manual clearly and completely document the responsibility for this position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
7.	Does the certificate holder's manual clearly and completely document their qualification standards for the person having responsibility for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
8.	Does the certificate holder's manual clearly and completely document their qualification standards for the person having authority to establish and modify the certificate holder's policies, procedures, instructions, and information for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
9.	Does the certificate holder's manual clearly and completely document the procedures for delegation of authority for the AD Management process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTES Drop-Down Menu	
1.	Not documented.
2.	Documentation unclear.
3.	Documentation incomplete.
4.	Other.